

OFFICE OF OCEAN AND COASTAL RESOURCE MANAGEMENT 1999-2000 PERFORMANCE REPORT GUIDELINES

April 1999

The goal of the Office of Ocean and Coastal Resource Management's (OCRM) Coastal Programs Division (CPD) and NOAA's Grants Management Division (GMD) is to reduce the amount of paperwork required and staff time necessary to prepare and process performance reports. Under the Federal Chief Financial Officer's Act of 1990 (CFOA), the files of all Federal agencies, including those of NOAA, have become subject to annual CFOA audit. These audits include a determination as to whether Federal grant files contain up-to-date financial reports and performance reports from recipients.

If grant recipients have not submitted timely performance and/or financial reports as required by the Terms and Conditions of the award:

- NOAA cannot issue a new grant award;
- NOAA cannot approve grant amendments; and
- NOAA's financial office must deny access to funds under all financial assistance awards to that recipient.

CPD has made some changes to the performance report guidance to ensure that this does not happen. The following guidelines describe these changes:

General Reporting Requirements:

The requirements for performance reports are divided into three sections: Section A, B, and C. Section A and B of the performance reports are to be submitted to CPD semi-annually during the financial assistance award period. Section C is not required this year.

Unless required by CPD, states should not be submitting quarterly performance reports. Some states continue to require quarterly performance reports from their subawardees. This is a decision that CPD leaves up the applicant. However, **DO NOT** send these quarterly reports under separate cover to CPD. Instead, summarize the subawardees' quarterly reports in your semiannual report.

All reports must be submitted no more than 30 days after the end of the reporting period in order to ensure compliance with NOAA Standard Terms and Conditions, and to ensure compliance with the CFOA.

Full explanations are not provided in this document. For specific guidance and detailed examples of Section A and B refer to the "1992 - 1993 Performance Report Guidelines."
Format:

All performance reports received in CPD are logged in. To ensure that the performance reports are correctly logged in, include the following information in the title of the report:

“Performance Report for Cooperative Agreement No: NA97OZ0xxx”
“for the Period from _____ to _____”

When reporting on more than one cooperative agreement in a reporting period, the applicant must submit separate performance reports for each award and place the award number in the title of the report and/or at the top of each page. This information is necessary to ensure that the reports are correctly logged in and correctly filed.

Some states are submitting Section A reports separately from Section B reports. This can cause problems logging in the reports. Whenever possible, submit both sections together. In any event, clearly identify the section and award number the report covers.

Copies:

Please provide CPD with electronic copies of all performance reports completed under the cooperative agreement. The report should be submitted in WordPerfect format or a compatible word processing program, via disk or through e-mail. If the report is submitted in hard copy, the applicant must include an original and TWO copies of the report as well as the cover letter (NOAA Administrative Special Award Condition 27). Therefore, CPD should receive THREE copies of reports if submitted in hard copy.

If publications or reports are submitted in hard copy, recipients are required to submit THREE copies of all publications or reports printed/funded with coastal zone management funds. Also, such reports must contain the appropriate NOAA notations (NOAA Administrative Special Award Condition 17).

Final Report:

NOAA Administrative Special Award Condition 9 states that final reports, in addition to performance reports, are to be submitted within 90 days of the expiration date of the award. For Coastal Management awards a final report is **NOT** required (See attached memorandum dated 12/28/98). Instead CPD requires that recipients continue to report on all tasks and activities until they are completed, and that the performance report clearly indicate that the task or activity is completed. GMD has concurred with this decision.

CAMMP Performance Reporting:

The CAMMP Grant Application and Reporting System (GARS) will have a performance report section. This section is scheduled to be completed by December 1999. At that time performance reports will be able to be submitted over the Internet via GARS.

Section A: Status of Award Tasks and Section 312 Evaluation Finding “Necessary Actions”

This section should describe the status of each section 306/306A,309, 310 and 6217 award task and relevant special award conditions. The report must be detailed enough to provide CPD with a clear understanding of what was accomplished under each task during the performance period. The section should be organized in the same format as the original award application and include the following information:

1. Status of task, organized by task number and title (e.g., meeting held, work products completed, contracts completed, difficulties/problems that may impede timely completion?).
2. Status of benchmarks due during the performance period.
3. Status of special award conditions due during the performance period.

States should also report on progress in meeting “necessary actions” identified in section 312 evaluations.

Section B: Status of State Permits, Federal Consistency, and Program Changes:

Information under this section will focus on administration of the state CZM core regulatory programs and related efforts. Three major topic will be reported on: (1) permit administration; (2) Federal consistency; and, (3) program changes. In the case of the first two topics, states must submit quantitative information in chart or tabular form and narrative section which briefly discuss significant accomplishments, problems, or controversial activities regarding program implementation and Federal consistency requirements. The charts for Federal consistency are contained in the “1992 - 1993 Performance Report Guidelines.”

While there is flexibility in providing quantitative information on state permits, the Federal consistency charts should be filled out as specified. However, the information as requested in the charts may be submitted in some other form, as long as the information is provided. The narrative for program changes should identify any changes to state authorities or organizational structure that occurred during the reporting period and which may affect the federally approved CZM program. This report is not a substitute for the formal submission of such program changes pursuant to 15 CFR 923.80-84.

Section C: Habitat Protection Efforts:

Section C is not required during FY 1999.

OMB Control #0648-0119, expires 08/31/2001. OCRM requires this information to report progress in relation to projected work schedules and stated objectives. The data will be used to assure compliance. Public reporting burden for this collection of information is estimated to average 33 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Joseph A. Uravitch, AIPC, Chief, Coastal Programs Division, OCRM, 1305 East-West Highway, Silver Spring, Maryland 20910. This report is required under and is authorized under 15 CFR 24.40. Information submitted will be treated as public records. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection displays a currently valid OMB Control Number.